



EXPRESS MAIL NO. EL976386439US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Birgit K. Jaitner et al.  
Application No. : 10/609,150  
Filed : June 25, 2003  
For : SOS1 INHIBITORS

Art Unit : 1623  
Docket No. : 59516-275/PP-18707.002  
Date : December 15, 2003

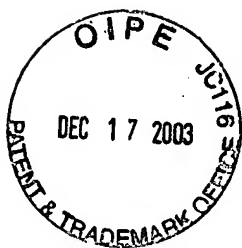
Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

DECLARATION

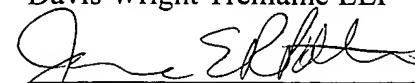
Commissioner for Patents:

I, Jane E. R. Potter, in accordance with 37 C.F.R. § 1.821(f) do hereby declare that, to the best of my knowledge, the content of the paper entitled "Sequence Listing" and the computer readable copy contained within the floppy disks are the same.

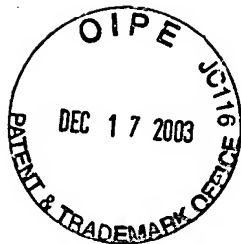
I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.



Respectfully submitted,  
Birgit K. Jaitner et al.,  
Davis Wright Tremaine LLP

  
\_\_\_\_\_  
Jane E. R. Potter  
Registration No. 33,332

2600 Century Square  
1501 Fourth Avenue  
Seattle, WA 98101-1688  
Phone: (206) 628-7560  
Facsimile: (206) 628-7699



DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SOS1 INHIBITORS**

the specification of which (check one) \_\_\_\_\_ is attached hereto x was filed on June 25, 2003, as U.S. Patent Application, Serial No. 10/609,150, and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)		Priority Claimed	
<u>Number</u>	<u>Country</u>	<u>Day/Month/Year Filed</u>	<u>Yes</u> <u>No</u>

I hereby claim the benefit under Title 35, United States Code, §120 and/or 119(e) of any United States application(s) and/or provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application		Status
<u>Serial No.</u>	<u>Filing Date</u>	<u>Patented, Pending, Abandoned</u>
60/391,993	June 26, 2002	Abandoned

I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that

these statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: BIRGIT K. JAITNER

Inventor's signature Birgit Jaitner Date: Dec 4<sup>th</sup> 2003

Residence San Francisco, California

Citizenship Germany

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of second inventor: WENDY J. FANTL

Inventor's signature Wendy Fantl Date: Nov 19<sup>th</sup> 2003

Residence San Francisco, California

Citizenship United States

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097



PATENT  
Atty. Docket No. PP-18707.002

I hereby certify that this paper is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Nancy L. Swanson  
Nancy L. Swanson

12/5/03  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: JAITNER and FANTL  
Confirmation No.: 1248  
U.S. Application No. 10/609,150  
Filing Date: June 25, 2003  
Group Art Unit: 1623  
Examiner: Unassigned  
For: SOS1 INHIBITORS

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Sir:

CHIRON CORPORATION, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest,  
or
2. ☐ an assignee of an undivided part interest in the patent application/patent identified above by virtue of either:

DO NOT FORWARD TO ASSIGNMENT BRANCH

- A. ☒ The patent application identified above claims benefit of U.S. Provisional Application No. 60/391,993, filed June 26, 2002, 1997, wherein an Assignment was mailed to the Assignment Branch of the U.S. Patent and Trademark Office on December 4, 2003 for recordation; a copy of which is attached hereto.

The patent application identified herein, i.e., U.S. Patent Application No. 10/609,150, filed June 25, 2003, wherein an Assignment was mailed to the Assignment Branch of the U.S. Patent and Trademark Office on December 4, 2003 for recordation; a copy of which is attached hereto.

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned is empowered to act on behalf of the assignee.

Signature: Charlene A. Launer  
Name: Charlene A. Launer  
Title: Assistant Secretary  
CHIRON CORPORATION

Date: December 5, 2003

DO NOT FORWARD TO ASSIGNMENT BRANCH

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Atty Docket N. : PP-18707.001

To the Director of the U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

**JAITNER, Birgit K.  
FANTL, Wendy J.**

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: **December 4, 2003, June 23, 2003**

2. Name and address of receiving party(ies)

Name: **Chiron Corporation**

Internal Address: \_\_\_\_\_

Street Address: **4560 Horton Street**

City: **Emeryville** State: **CA** Zip: **94608-2916**

☐ Other

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

**U.S. Provisional Application No. 60/391,993**

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Chiron Corporation**

Internal Address:

Street Address: **4560 Horton Street**

City: **Emeryville** State: **CA** Zip: **94608-2916**

6. Total number of applications and patents involved **1**

7. Total fee (37 CFR 3.41)..... \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account,

8. Deposit account number:

**03-1664**

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

**Charlene A. Launer (Reg. No. 33,035)**

Name of Person Signing

*Charlene A. Launer*

Signature

**12/04/03**

Date

Total number of pages including cover sheet, attachments, and document: **5**

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

COPY ONLY  
DO NOT FORWARD  
TO  
ASSIGNMENT BRANCH

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to:

Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P. O. 1450, Alexandria, VA 22313-1450, on this

**4th** day of **December**, 20 **03**

By: *May Lu Swane*

**ASSIGNMENT**

*WHEREAS*, We, Birgit K. Jaitner and Wendy J. Fantl, hereinafter referred to as *ASSIGNORS*, have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:    SOS1 INHIBITORS

Date of Execution:    December 4, 2003  
                            June 23, 2003

Filing Date: June 26, 2002

Serial No:            U.S. Provisional Application No. 60/391,993

*WHEREAS*, Chiron Corporation, hereinafter referred to as *ASSIGNEE*, is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

*NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN*: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to *ASSIGNORS* by *ASSIGNEE*, receipt of which is hereby acknowledged, *ASSIGNORS* have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said *ASSIGNEE*, and *ASSIGNEE'S* successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. §119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said *ASSIGNEE* as fully and exclusively as it would have been held and enjoyed by said *ASSIGNORS* had this assignment and transfer not been made, to the full end and term of any Letters Patent.

*ASSIGNORS* also agree that the U.S. application number may be entered above by *ASSIGNEE* or its agents upon designation of the application number by the U.S. Patent and Trademark Office.

*ASSIGNORS* further agree that they will, without charge to said *ASSIGNEE*, but at *ASSIGNEE'S* expense, cooperate with *ASSIGNEE* in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as *ASSIGNEE* lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said *ASSIGNEE*, or *ASSIGNEE'S* successors and assigns.

*IN TESTIMONY WHEREOF, ASSIGNORS* have hereunto signed their names to this assignment on the dates indicated below.

DATE Dec 4<sup>th</sup> 2003

Birgit K. Jaitner  
Birgit K. Jaitner

DATE June 23<sup>rd</sup> 2003

Wendy J. Fantl  
Wendy J. Fantl

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

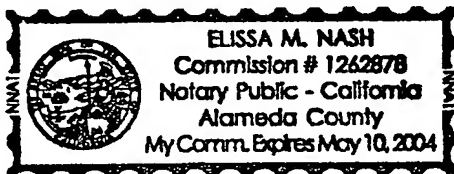
County of Alameda

SS.

On June 23, 2003, before me, Elissa M. Nash,  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Wendy Fantl,  
Name(s) of Signer(s)

- ☒ personally known to me  
☐ proved to me on the basis of satisfactory evidence



to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Place Notary Seal Above

Signature of Notary Public

## OPTIONAL

*Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

### Description of Attached Document

Title or Type of Document: \_\_\_\_\_

Document Date: \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: \_\_\_\_\_

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney in Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

COPY ONLY  
NOT FORWARD  
TO  
INVENT BRANCH

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of

Alameda

} ss.

On 12/4/03, before me,

Date

Nancy L. Swanson

Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared

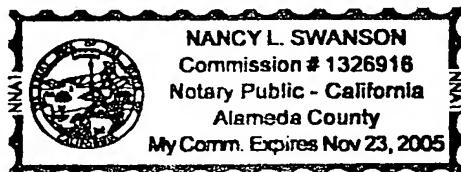
Bicgik

K. Taitner

Name(s) of Signer(s)

- ☒ personally known to me  
☐ proved to me on the basis of satisfactory evidence

to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies); and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Nancy L. Swanson  
Signature of Notary Public

Place Notary Seal Above

## OPTIONAL

*Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

### Description of Attached Document

Title or Type of Document: \_\_\_\_\_

Document Date: \_\_\_\_\_

Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: \_\_\_\_\_

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney in Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

**COPY ONLY**  
**DO NOT FORWARD**  
**TO**  
**ASSIGNMENT BRANCH**

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Att'y Docket No.: PP-18707.002

To the Director of the U.S. Patent and Trademark Office. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

JAITNER, Birgit K.  
FANTL, Wendy J.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Chiron Corporation

Internal Address: \_\_\_\_\_

Street Address: 4560 Horton Street

City: Emeryville State: CA Zip: 94608-2916

☐ Other

3. Nature of conveyance:

☒ Assignment

☐ Security Agreement

☐ Other \_\_\_\_\_

☐ Merger

☐ Change of Name

Execution Date: **December 4, 2003, November 19, 2003**

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

**U.S. Patent Application No. 10/609,150**

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Chiron Corporation

Internal Address:

Street Address: 4560 Horton Street

City: Emeryville State: CA Zip: 94608-2916

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41)..... \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account,

8. Deposit account number:

**03-1664**

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Charlene A. Launer (Reg. No. 33,035)

Name of Person Signing

Charlene A. Launer  
Signature

12/4/03  
Date

Total number of pages including cover sheet, attachments, and document: 4

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to:

Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P. O. 1450, Alexandria, VA 22313-1450, on this

4th day of December, 20 03.

By: Mary L. Swanson

COPY ONLY

DO NOT FORWARD

ASSIGNMENT BRANCH

**ASSIGNMENT**

WHEREAS, We, **BIRGIT K. JAITNER** and **WENDY J. FANTL**, hereinafter referred to as **ASSIGNORS**, have co-invented certain improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:           **SOS1 INHIBITORS**  
Date of Execution:           **December 4, 2003 and November 19, 2003**  
Filing Date:                 **June 25, 2003**  
Serial No:                    **10/609,150**

WHEREAS, **CHIRON CORPORATION**, located at 4560 Horton Street, Emeryville, California 94608-2916, hereinafter referred to as **ASSIGNEE**, is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to **ASSIGNORS** by **ASSIGNEE**, receipt of which is hereby acknowledged, **ASSIGNORS** have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said **ASSIGNEE**, and **ASSIGNEE'S** successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. § 119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said **ASSIGNEE** as fully and exclusively as it would have been held and enjoyed by said **ASSIGNORS** had this assignment and transfer not been made, to the full end and term of any Letters Patent.

**ASSIGNORS** also agree that the U.S. serial number and the filing date may be entered above by **ASSIGNEE** or its agents upon designation of the serial number and the filing date by the U.S. Patent and Trademark Office.

ASSIGNORS further agree that they will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

IN TESTIMONY WHEREOF, ASSIGNORS have hereunto signed their names to this assignment on the dates indicated below.

INVENTOR: BIRGIT K. JAITNER

DATE Dec 4<sup>th</sup> 2003

Birgit Jaitner  
Signature

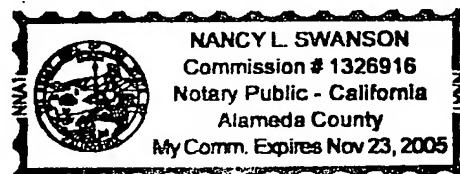
State of California

County of Alameda

On 12/4/03 before me, Nancy L. Swanson Notary Public, personally appeared Birgit K. Jaitner, personally known to me OR proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Nancy L. Swanson  
Signature of Notary Public



Notary Seal

INVENTOR: WENDY J. FANTL

DATE Nov 19<sup>th</sup> 2003

Wendy J. Fantl  
Signature

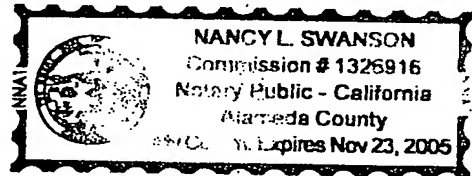
State of California

County of Alameda

On 11/19/2003 before me, Nancy L. Swanson, Notary Public,  
personally appeared Wendy J. Fantl, personally known to me OR proved  
to me on the basis of satisfactory evidence to be the person whose name is subscribed to the  
within instrument and acknowledged to me that he/she/they executed the same in  
his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the  
instrument the person(s), or the entity upon behalf of which the person(s) acted, executed  
the instrument.

WITNESS my hand and official seal.

Nancy L. Swanson  
Signature of Notary Public



Notary Seal

8302

**CHIRON CORPORATION  
PATENT APPLICATION**

4560 HORTON STREET, BLDG. R-440  
EMERYVILLE, CA 94608-2916

DATE 12-4-03 11-35  
1210

PAY  
TO THE  
ORDER OF

COMMISSIONER OF PATENTS AND TRADEMARKS

\$ 40.00

DOLLARS

**Bank of America.**

Corporate Banking Services  
1850 Gateway Blvd.  
Concord, CA  
1.800.432.2726

FOR 10/609,150 - 18707.002

Rebecca M. Hale

⑈008302⑈ ⑆121000358⑆ 12339⑈52291⑈

**RECEIVED**

**DEC 10 2003**

**Jane E.R. Potter**

SERIAL NO: 10/609,150 DATE FILED: 06/25/03 DKT NO: PP-18707.002

TITLE: SOS1 Inhibitors

ATTY: CAL APPLICANT: Jaitner and Fantl DATE MAILED: 12/4/03

☒ CERTIFICATE OF MAILING

☐ EXPRESS MAIL LABEL NO.:

**THE U.S. PATENT & TRADEMARK OFFICE ACKNOWLEDGES RECEIPT OF:**

☐ pp Spec. ☐ Claims ☐ Abstract

☐ Auth. to Charge Deposit Account No. 03-1664

☒ Fee \$ 40.00 Check # 8302

☐ Declaration ☐ Signed ☐ Unsigned

☐ Power of Attorney ☐ Issue Fee Transmittal B

☒ Assignment w/Recordation Cover Sheet 4 pages

☐ Certificate Under 37 C.F.R. §3.73(b)

☐ PCT Request ☐ Pages ☐ Demand (DC2)

☐ Informal/Formal Drawings ☐ sheets

☐ IDS with Form 1449 and ☐ references

☐ Paper Sequence Listing ☐ pages

☐ Disk Containing Sequence Listing

☐ Statement to Support Filing & Submission in  
Accordance with 37 CFR §§1.821 - 1.825

☐ Rule §1.53 ☐ of USSN

☐ Amendment ☐ Notice of Appeal

☐ Certificate of Mailing via Express Mail

☐ COPY Notice to File Missing Parts Application  
Filing Date Granted

☐ Petition

☐ Request for Corrected Filing Receipt w/copy of Official  
Filing Receipt

☐ Change of Correspondence Address

☐ Transmittal Letter to the U.S. Designated/Elected  
(DO/EO/US) Concerning a Filing Under 35 USC 371

☐

☐

☐

**ENTERED IN DWT  
IP DOCKET**

**DEC 11 2003**

By: mlb/ian (ND)

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Atty Docket No.: PP-18707.002

To the Director of the U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

JAITNER, Birgit K.  
FANTL, Wendy J.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Chiron Corporation

Internal Address: \_\_\_\_\_

Street Address: 4560 Horton Street

City: Emeryville State: CA Zip: 94608-2916

☐ Other

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other \_\_\_\_\_

Execution Date: **December 4, 2003, November 19, 2003**

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

**U.S. Patent Application No. 10/609,150**

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Chiron Corporation**

Internal Address:

Street Address: **4560 Horton Street**

City: **Emeryville** State: **CA** Zip: **94608-2916**

6. Total number of applications and patents involved **1**

7. Total fee (37 CFR 3.41)..... \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account,

8. Deposit account number:

**03-1664**

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Charlene A. Launer (Reg. No. 33,035)

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: **4**

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to:

Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P. O. 1450, Alexandria, VA 22313-1450, on this

4th day of December, 20 03.

By: \_\_\_\_\_

**ASSIGNMENT**

*WHEREAS, We, BIRGIT K. JAITNER and WENDY J. FANTL, hereinafter referred to as ASSIGNORS, have co-invented certain improvements as described and set forth in the below-identified application for United States Letters Patent:*

Title of Invention:           SOS1 INHIBITORS  
  
Date of Execution:           December 4, 2003 and November 19, 2003  
  
Filing Date:                 June 25, 2003  
  
Serial No:                    10/609,150

*WHEREAS, CHIRON CORPORATION, located at 4560 Horton Street, Emeryville, California 94608-2916, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;*

*NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to ASSIGNORS by ASSIGNEE, receipt of which is hereby acknowledged, ASSIGNORS have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said ASSIGNEE, and ASSIGNEE'S successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. § 119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said ASSIGNEE as fully and exclusively as it would have been held and enjoyed by said ASSIGNORS had this assignment and transfer not been made, to the full end and term of any Letters Patent.*

*ASSIGNORS also agree that the U.S. serial number and the filing date may be entered above by ASSIGNEE or its agents upon designation of the serial number and the filing date by the U.S. Patent and Trademark Office.*

ASSIGNORS further agree that they will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

IN TESTIMONY WHEREOF, ASSIGNORS have hereunto signed their names to this assignment on the dates indicated below.

INVENTOR: BIRGIT K. JAITNER

DATE Dec 4<sup>th</sup> 2003

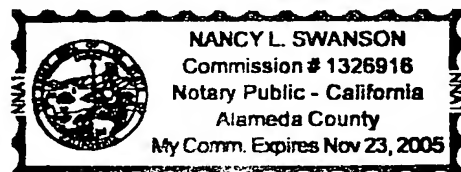
Birgit Jaitner  
Signature

State of California  
County of Alameda

On 12/4/03 before me, Nancy L. Swanson Notary Public,  
personally appeared Birgit K. Jaitner, personally known to me OR proved  
to me on the basis of satisfactory evidence to be the person whose name is subscribed to the  
within instrument and acknowledged to me that he/she/they executed the same in  
~~his~~/her/~~their~~ authorized capacity(ies), and that by ~~his~~/her/~~their~~ signature(s) on the  
instrument the person(s), or the entity upon behalf of which the person(s) acted, executed  
the instrument.

WITNESS my hand and official seal.

Nancy L. Swanson  
Signature of Notary Public



Notary Seal

INVENTOR: WENDY J. FANTL

DATE Nov 19<sup>th</sup> 2003

Wendy J. Fantl  
Signature

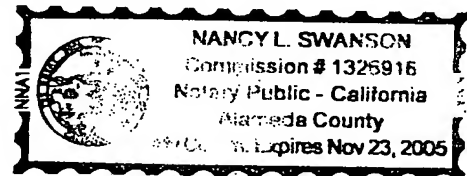
State of California

County of Alameda

On 11/19/2003 before me, Nancy L. Swanson, Notary Public,  
personally appeared Wendy J. Fantl, personally known to me OR proved  
to me on the basis of satisfactory evidence to be the person whose name is subscribed to the  
within instrument and acknowledged to me that he/she/they executed the same in  
his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the  
instrument the person(s), or the entity upon behalf of which the person(s) acted, executed  
the instrument.

WITNESS my hand and official seal.

Nancy L. Swanson  
Signature of Notary Public



Notary Seal